

*Receipt #*  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

C. Augusto

Application No.: 10/023,430

Filed: December 14, 2001

For: WAVELENGTH-SELECTIVE PHOTONICS DEVICE



**BOX MISSING PARTS**  
Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to BOX MISSING PARTS, Commissioner for Patents, Washington, D.C. 20231 on April 11, 2002.

By: *Carol Prentice*  
Carol Prentice

**SUBMISSION OF MISSING PARTS OF  
APPLICATION UNDER 37 C.F.R. 1.53**

Dear Sir:

Enclosed are the following items for filing in the above-referenced U.S. patent application:

- [x] A check in the amount of \$444 to cover the total filing fee (\$379); the surcharge set forth in 37 C.F.R. 1.16(e) (\$65);

<b>Basic Fee - (SMALL ENTITY)</b>							<b>\$ 370.00</b>
<b>Multiple Dependent Claims (270.00)</b>							
<b>Foreign Language Surcharge (\$130.00)</b>							
	<b>For</b>	<b>No. Filed</b>	<b>-</b>	<b>No. Extra</b>	<b>-</b>	<b>Rate</b>	
<b>EXTRA</b>	<b>Total Claims</b>	<b>21</b>	<b>20</b>	<b>1</b>	<b>x</b>	<b>\$ 9.</b>	<b>= \$ 9.00</b>
<b>CLAIMS</b>	<b>Independent Claims</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>x</b>	<b>\$ 42.</b>	<b>= \$ 0</b>
<b>TOTAL FILING FEE</b>							<b>= \$ 379.00</b>

- [x] Return receipt postage prepaid postcard;
- [x] Formalities Letter (Part 2) mailed February 21, 2002;
- [x] Declaration and Power of Attorney, signed by the Applicant on February 7, 2002;

- ☐ Assignment executed on , together with separate transmittal form PTO-1595  
☐ Please include assignee information when this application is published  
**Assignee:**

- ☒ Information Disclosure Statement, together with Form PTO-1449 and copies of the cited documents;  
☒ Request for Corrected Filing Receipt, with attachments;  
☒ Updated Patent Application Data Entry form.

Having now complied with all of the requirements of 37 C.F.R. Section 1.53, Applicant respectfully requests that this application be placed upon the files for examination.

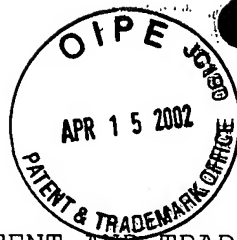
The Commissioner is hereby authorized to charge any deficiency in the payment of the required fee(s) or credit any overpayment to Deposit Account No. 50-0625.

Date: April 11, 2002  
ATTORNEY DOCKET NO.: VAN-109

Respectfully submitted,



Barry R. Lipsitz  
Attorney for Applicant(s)  
Registration No. 28,637  
755 Main Street, Bldg. 8  
Monroe, CT 06468  
(203) 459-0200



P A T E N T

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By:

*Carol Prentice*  
Carol Prentice

**REQUEST FOR CORRECTED FILING RECEIPT**

Dear Sir:

Applicant received an official Filing Receipt for the patent application referenced above.

Applicant would like the following correction(s) to be made on the Filing Receipt:

(1) Correct the residence of Applicant from "Lisboa, Portugal" to:

-- San Jose, CA --

The following documents are enclosed herewith:

**Application No.: 10/023,430**  
**Page 2**


- Copy of the Declaration and Power of Attorney form,  
mailed to the U.S. Patent and Trademark Office on April 11, 2002,  
with the residence address noted.

- Copy of the Filing Receipt, with the requested  
correction(s) noted thereon.

Applicant respectfully requests that the official records  
for the above application be changed to reflect the above  
correction(s), and that a corrected Filing Receipt be issued.

Respectfully submitted,

Date: **April 11, 2002**  
**ATTORNEY DOCKET NO.: VAN-109**

  
\_\_\_\_\_  
Barry R. Lipsitz  
Attorney for Applicant(s)  
Registration No. 28,637  
755 Main Street, Bldg. 8  
Monroe, CT 06468  
(203) 459-0200



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/023,430	12/14/2001	2874	0.00	VAN-109	30	21	1

20028  
LAW OFFICE OF BARRY R LIPSITZ  
755 MAIN STREET  
MONROE, CT 06468



CONFIRMATION NO. 7234

FILING RECEIPT



\*OC000000007505969\*

Date Mailed: 02/21/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s) San Jose, CA  
Carlos J.R.P. Augusto, ~~Lisboa~~, PORTUGAL;

**D** mestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF PCT/EP00/05590 06/13/2000  
WHICH CLAIMS BENEFIT OF 60/140,671 06/14/1999

**F** reign Applications

If Required, Foreign Filing License Granted 02/20/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

## Title

Wavelength-selective photonics device

## Preliminary Class

385

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/023,430	12/14/2001	Carlos J.R.P. Augusto	VAN-109

20028  
LAW OFFICE OF BARRY R LIPSITZ  
755 MAIN STREET  
MONROE, CT 06468



CONFIRMATION NO. 7234

## FORMALITIES LETTER



\*OC000000007505970\*

Date Mailed: 02/21/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$9.  
    ▪ \$9 for 1 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 444.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/17/2002 SFELEK1 00000112 10023430

370.00 \$  
9.00 \$  
65.00 \$

01 FC:201  
02 FC:203  
03 FC:205